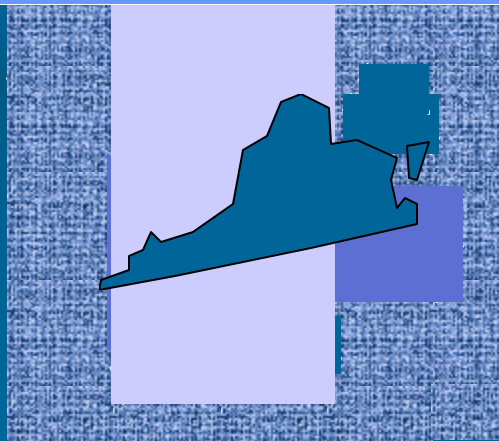


# Commonwealth of Virginia

## State Corporation Commission



Version 2.0.2  
July 1998

*Surplus Lines Brokers  
Diskette Filing Application*

## GENERAL INSTRUCTIONS FOR ELECTRONIC FILING OF SLB REPORTS

February, 2000

# ... TABLE OF CONTENTS ...

|  |                    |
|--|--------------------|
| <b>GENERAL INSTRUCTIONS FOR COMPLETING SLB FILING.....</b>                           | <b>2</b>           |
| WHAT YOU NEED:.....  | 2                  |
| HOW TO GET STARTED: .....  | 2                  |
| HOW TO RE-INSTALL OR MOVE SLB APPLICATION TO ANOTHER MACHINE: .....                  | 2                  |
| WHO MUST FILE: .....   | 3                  |
| WHEN TO FILE: .....  | 3                  |
| WHAT TO FILE: .....  | 3                  |
| WHERE TO FILE: .....   | 4                  |
| <b>DATA ENTRY NOTES.....</b>   | <b>5</b>           |
| <b>WORK FLOW OVERVIEW .....</b>  | <b>6</b>           |
| SLB MAIN WINDOW .....  | 6                  |
| BROKER INFORMATION DIALOG SCREEN.....  | 6                  |
| SLB-5 WORKSHEET FORMS.....   | 7                  |
| SLB REPORTS .....  | 8                  |
| SLB DISKETTE .....   | 8                  |
| <b>INSTRUCTIONS FOR COMPLETING THE “BROKER INFORMATION DIALOG SCREEN” .....</b>      | <b>9</b>           |
| BROKER.....  | 10                 |
| <i>Adding a Broker or Authorized Individual to the database .....</i>                | <i>10</i>          |
| <i>Modifying Broker or Authorized Individual Information.....</i>                    | <i>10</i>          |
| FILING QUARTER.....  | 11                 |
| TAX YEAR.....  | 11                 |
| PRIOR CREDITS:.....  | 11                 |
| <b>INSTRUCTIONS FOR COMPLETING FORM SLB-5 “SURPLUS LINES QUARTERLY REPORT” .....</b> | <b>12</b>          |
| WHO MUST FILE FORM SLB - 5 .....   | 12                 |
| WHAT TO REPORT .....   | 12                 |
| DETAILED INSTRUCTIONS FOR COMPLETING SLB-5 WORKSHEETS (PARTS 1, 2, & 3).....         | 12                 |
| ENTERING POLICY INFORMATION - SLB-5 PART 1 .....                                     | 14                 |
| <i>Sample Screen for SLB-5 Part 1 Worksheet:.....</i>                                | <i>14</i>          |
| ENTERING ADDITIONAL PREMIUMS - SLB-5 PART 2.....                                     | 17                 |
| <i>Sample Screen for SLB-5 Part 2 Worksheet:.....</i>                                | <i>17</i>          |
| ENTERING RETURN PREMIUMS - SLB-5 PART 3.....   | 19                 |
| <i>Sample Screen for SLB-5 Part 2 Worksheet:.....</i>                                | <i>19</i>          |
| <b>INSTRUCTIONS FOR COMPLETING SLB REPORTING SYSTEM SCREEN .....</b>                 | <b>21</b>          |
| BLANK FORMS .....  | 21                 |
| QUARTERLY FILING .....   | 21                 |
| DISKETTE .....   | 22                 |
| <b>APPENDIX I – VA FORMS SLB 1 THROUGH SLB-10 .....</b>                              | <b>APPENDIX I</b>  |
| <b>APPENDIX II – FILE LAYOUTS.....</b>   | <b>APPENDIX II</b> |
| SLB – 5 (PART1) RECORDS.....   | II                 |
| SLB – 5 (PART2) RECORDS.....   | III                |
| SLB – 5 (PART3) RECORDS.....   | IV                 |
| SLB – 57 RECORDS .....   | V                  |
| HEADER RECORD.....   | VI                 |

## GENERAL INSTRUCTIONS FOR COMPLETING SLB FILING

### ***What You Need:***

The minimum configuration requirements are as follows:

486 IBM Compatible PC w/ 16 megabytes RAM  
Windows 95, Windows 98 or Windows NT  
6 Megabytes free Hard Disk Space  
3-1/2" 1.44 Megabyte Floppy Drive or CD-ROM  
Blank Formatted Floppy Diskette

### ***How to Get Started:***

You will first need to install the SLB application.

To install, insert the installation diskette into drive A: and execute the SETUP.EXE file that resides there. This is a self-explanatory windows set-up program.

*This will create a subdirectory on your C: drive called SLB and copy all program files from the diskettes to your hard drive. Do not change the subdirectory to another name, or the application may not function properly in the future.*

To execute the SLB application, start SLB from the START button or Program Manager.

### ***How to Re-install or Move SLB Application to Another Machine:***

If you need to reinstall this program on the same machine and retain any data that has already been entered, please do the following:

- Go to the SLB subdirectory and backup up the following to file to another location:  
SLB97.mdb  
(*These constitute the Access database of policy records created via this application.*)
- Delete the entire SLB subdirectory
- Insert the installation diskette into your A: drive and execute the SETUP.EXE file.
- Copy SLB97.mdb from the backup location to the SLB subdirectory.

**Who must file:**

Every licensed Surplus Lines Broker.

**When to file:**

The forms should be filed on or before 30 days after the last day of the calendar quarter. The following is the filing schedule for the Quarterly filings.

| <u>Quarter Ending</u> | <u>Quarterly Filing Due Date</u> |
|-----------------------|----------------------------------|
| March 31              | April 30                         |
| June 30               | July 30                          |
| September 30          | October 30                       |
| December 31           | January 30                       |

- The annual Filing is due March 1.
- (Forms SLB-4, SLB-6 and SLB-8 may be printed from the SLB Reporting System Screen)

**What to file:**

Printed, Notarized SLB-3, Quarterly Combined Affidavit by Surplus Lines Broker

Printed, Notarized SLB-7, Quarterly Gross Premium Tax Report

Printed and completed SLB-10, Commercial Insured Waiver (If required)

Printed, Notarized SLB-5 Part 4

Diskette Filing – ***This satisfies the SLB-5 (Parts 1,2 and 3) filing requirements***

There are two files created by the SLB Diskette filing application

The files are named SLUPLOAD.TXT and SLUPLOAD.HDR .

To create these files on a diskette for mailing to the Bureau:

Insert a blank diskette into Drive A:.

Click on **Diskette** on the menu bar. (See ***Diskette*** under “***Instructions for Completing SLB Reporting System Screen***”)

***Where to file:***

**Mailing Address for Surplus Lines Filings:**

Bureau of Insurance  
Administrative Tax Unit  
P.O. Box 1157  
Richmond, VA 23218

**Express and Overnight:**

Bureau of Insurance  
Administrative Tax Unit  
1300 E. Main St.  
Richmond, VA 23219

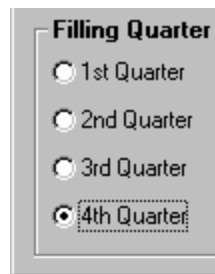
Telephone: (804) 371-9399  
FAX: (804) 371-9821

## Data Entry Notes

To enter data into any field with a down arrow on the right, e.g.: position the mouse pointer over the down arrow and click for a selection or ‘drop-down’ list. Then click on the desired selection. You may add or modify to any drop-down list, which is followed by an ellipsis, e.g.: by clicking on the ellipsis.

A screenshot of a form titled "Broker". It contains a field labeled "License Number" with a small downward-pointing arrow on its right side and a small square button with three dots (an ellipsis) to its right.A screenshot of a form field labeled "State". It shows a dropdown menu with "Virginia" selected and a small downward-pointing arrow on the right side.

“Radio-selection” buttons are circles preceding a selection where only one of the items in the selection lists may be chosen, e.g.:

A screenshot of a form titled "Filing Quarter". It contains four radio button options: "1st Quarter", "2nd Quarter", "3rd Quarter", and "4th Quarter". The "4th Quarter" option is selected, indicated by a filled circle next to it.

Fields are not case sensitive. You may enter your data in upper and lower case and it will be maintained in your system in that format. At the Bureau, the data will be converted to all upper case for reporting.

All fields for amounts, such as Gross Premiums, are in currency format, e.g. \$25 is represented as \$25.00.

All dates must be entered in a MM/DD/YYYY format.

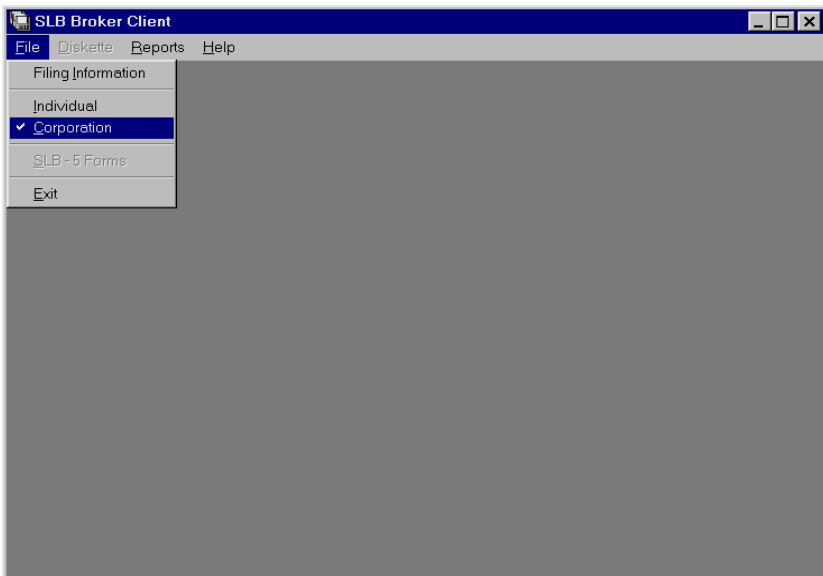
Navigation through a worksheet may be accomplished with the tab keys or by clicking the mouse after positioning the mouse arrow on the desired entry field.

The Broker ID fields should be keyed without the use of hyphens, e.g., 222222222, **not** 222-22-2222.

## Work Flow Overview

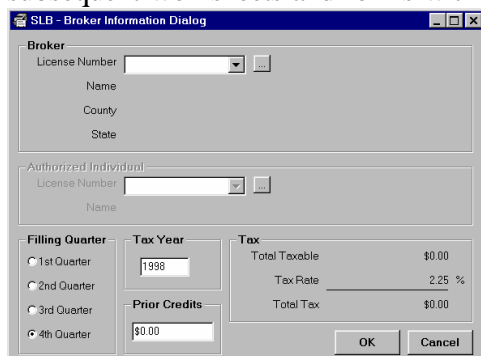
### SLB Main Window

When the SLB application is initiated, an SLB Broker Client Window is presented. This window has a menu bar with the following menu items: **F**ile, **D**iskette, **R**eports and **H**elp. From the **F**ile menu select "**I**ndividual" if you are transacting as a licensed individual Broker, or "**C**orporation" if you are transacting as the licensed authorized individual for a partnership or corporation.



### Broker Information Dialog Screen

After indicating the Filing Mode, select the Broker Information Dialog screen by choosing **Filing Information** from the **F**ile Menu. This dialog screen is used to capture critical identifying information that is used throughout the remainder of the process. The information, such as **Broker Number**, **Filing Quarter**, **Tax Year** and **Prior Credits** (if any), will be keyed only once on this screen and will appear on all subsequent worksheets and forms within the process. This dialog box will **NOT** allow you to proceed until the required items are entered. **Please note the importance of keying this information correctly. Any information keyed in subsequent screens or dialog boxes will be associated with the entered Broker License Number, Filing Quarter, and Tax Year.** Please see Instructions for Completing the Broker Information Dialog Screen for a detailed explanation about the use of this process. After the requested Broker Information is entered, or selected, click "**OK**" to save this information.



## SLB-5 Worksheet Forms

After saving the Broker Information Dialog information open the worksheet forms by choosing **SLB-5 Forms** from the **File Menu**. You may navigate to any of the three worksheets by clicking on the tab labeled “Part 1”, “Part 2”, or “Part 3”, each of which represents the three parts of the SLB-5. The Broker information, along with the number of policies and total value associated with that Part of the SLB-5, will appear in a display-only mode at the top of the selected Part. The tab labeled “Part 1” takes you to the worksheet for the SLB-5 Part 1, Surplus Lines Quarterly Report - Policy Data. This is where you enter the requested information about policies procured within the filing quarter. Please see Instructions for Completing Form SLB-5 for a detailed explanation about the data captured on this form.

|                             |
|-----------------------------|
| Filing Information          |
| ✓ Individual<br>Corporation |
| <b>SLB - 5 Forms</b>        |
| Exit                        |

The screenshot shows the 'SLB 5' application window. At the top, it displays 'Broker Test Broker' with ID '123456789'. Below this, 'Agent' information is shown: 'Quarter 4 1998', 'Henrico', and 'VIRGINIA'. To the right, 'Policies' count is '0' and 'Total Amt' is '\$0.00'. The main area has three tabs: 'Part 1' (selected), 'Part 2', and 'Part 3'. Under 'Part 1', there are input fields for: Policy Number, Name Insured, Procurement ID (dropdown), Referring Agent, UnLicense Co., Class Code (dropdown), Gross Premium, Procurement Date, Effective Date, End Date, Ref License, SL Number, and Insurance Amount. At the bottom, there is a table with columns: Policy #, Name Insured, Procure Date, Effective Date, and an 'Add' button. To the right of the table are buttons for 'Save', 'Refresh', 'Delete', and 'Close'.

The tab labeled “Part 2” is the SLB-5 Part 2, Surplus Lines Quarterly Report - Additional Premiums. This is where you enter the requested information about additional premiums received within the filing quarter. Please see Instructions for Completing Form SLB-5 for a detailed explanation about the data captured on this form.

The tab labeled “Part 3” is the SLB-5 Part 3, Surplus Lines Quarterly Report - Return Premiums. This is where you enter the requested information about return premiums received within the filing quarter. Please see Instructions for Completing Form SLB-5 for a detailed explanation about the data captured on this form. After the SLB-5 Worksheets have been entered and “**Closed**”, you may print and store to diskette all appropriate forms.



### ***SLB Reports***

After the SLB-5 Worksheets have been entered and “**Closed**”, select **Reports** from the **File Menu**. You may print blank copies of these forms or copies completed with the identifying broker information and SLB-5 data entered. Detail instructions follow in the section titled “Instructions for Completing SLB Reporting System Screen”.

### ***SLB Diskette***

The final step in the quarterly filing process is to create a diskette containing the information entered in the previous steps to send to the SCC. Select **Diskettes** from the **File Menu** after all SLB-5 Worksheets have been completed. Detail instructions follow in the section titled “Instructions for Completing SLB Reporting System Screen”.

## Instructions for completing the “Broker Information Dialog Screen”

The Broker Information Dialog is opened by choosing **Filing Information** from the **File** menu. *(If you entered this screen as an “Individual”, the Authorized Individual License Number and Name will be grayed out, as it is not applicable.)* The Broker Information Dialog Screen allows you to enter the necessary identifying information about a broker before proceeding through the remainder of the data entry process. This identifying information is used to access the appropriate filing data for the broker.

When keying a broker filing, enter the following items and Click “**OK**”. (Note: The “**Bold**” items are required).

### **Broker’s License Number**

Authorized Individual License Number

**Filing Quarter** (the default selection is based on the current date. Be sure to select the correct Quarter)

**Tax Year**

**Prior Credits**

***Please note the importance of keying this critical identifying information correctly. This is the only place that allows for modification of broker identifying information. Any information keyed in subsequent worksheets or dialog boxes will be associated with the Broker License Number, Filing Quarter, and Tax Year entered on this screen. If you modify these fields after you have entered any SLB-5 information, you must re-enter the SLB-5 worksheets to associate it with the correct broker information. (Any previously entered SLB-5 data will be associated with the original Broker information.)***

## ***Broker***

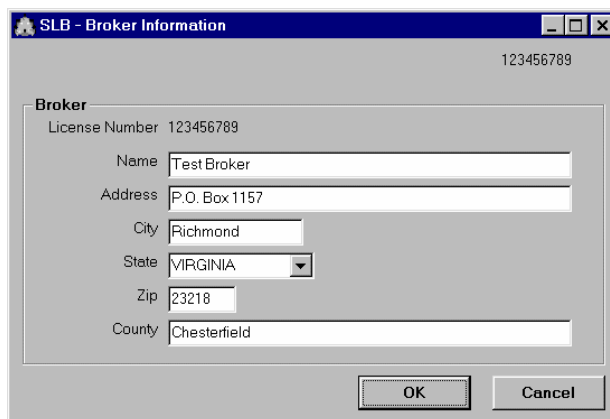
### **Broker License Number/Name & Authorized Individual License Number/Name**

If you are transacting as an individual, you should have selected “Individual” on the previous Filing Mode screen. On the Broker Information Dialog Screen you will be prompted to enter Broker Name and Broker License Number only. This information will be used to complete the proper fields on the printed SLB reports.

If you are transacting as the authorized individual for a partnership or corporation, you should have selected “Corporation/Partnership” on the previous Filing Mode screen. On the Broker Information Dialog Screen you should select the appropriate Agency license number from the Broker License Number drop down list. Select your License Number from Authorized Individual’s License Number drop down list so your license number and Name appear in the Authorized Individual License Number and Name fields respectively. This information will be used to complete the proper fields on the printed SLB reports.

### ***Adding a Broker or Authorized Individual to the database***

If this is the first time you have run this application and entered this screen, there will be no license numbers to select from the drop down list. If the appropriate License number is not listed in the drop down list of valid License numbers, enter the new License number and click on the ellipsis button (...). This will invoke a New Broker Dialog screen. After entering all the appropriate information for a new Broker, Click OK to add new license information



| SLB - Broker Information |               |
|--------------------------|---------------|
| 123456789                |               |
| <b>Broker</b>            |               |
| License Number           | 123456789     |
| Name                     | Test Broker   |
| Address                  | P.O. Box 1157 |
| City                     | Richmond      |
| State                    | VIRGINIA      |
| Zip                      | 23218         |
| County                   | Chesterfield  |
| OK Cancel                |               |

**NOTE:** Brokers and Authorized Individuals must be currently licensed by the Bureau of Insurance.

### ***Modifying Broker or Authorized Individual Information***

To modify any existing Broker or Authorized Individual Information (name, address), select the appropriate license number from the drop-down list and click on the ellipsis button (...). This will invoke a New Broker Dialog screen. After entering all the appropriate information for a new Broker, Click OK to add new license information.

***Filing Quarter***

Click on the calendar quarter that the SLB-3 covers. The quarter ending dates are as follows:

March 31, xxxx

June 30, xxxx

September 30, xxxx

December 31, xxxx

**NOTE:** The default selection is based on the current date. Be sure to select the correct quarter for the period you are filing.

***Tax Year***

Enter the Tax Year that the SLB-3 covers.

***Prior Credits:***

This field is only applicable to SLB-7. It allows you to enter any prior credits that are being used to reduce this quarters tax payable.

**NOTE:** Tax credits may not be carried forward from one year to the next year.

## Instructions for Completing Form SLB-5 “Surplus Lines Quarterly Report”

### ***Who must file Form SLB - 5***

All surplus lines brokers that held a license during all or a portion of the calendar quarter covered by the report. Note that this report **must be filed even if there are no transactions to report**. All parts (1, 2, 3 and 4) of Form SLB-5 must be submitted.

### ***What to report***

Report policies that were procured during the calendar quarter and additional and return premiums that were effective during the quarter.

### ***Detailed Instructions For Completing SLB-5 Worksheets (Parts 1, 2, & 3)***

You may navigate to any of the three worksheets by clicking on the tab labeled “Part 1”, “Part 2”, or “Part 3”, each of which represents the three worksheet parts of the SLB-5. Clicking on the tabs will bring you to the following reports:

“**Part 1**” is the worksheet for the SLB-5 Part 1, Surplus Lines Quarterly Report- Policy Data.

“**Part 2**” is the SLB-5 Part 2, Surplus Lines Quarterly Report- Additional Premiums

“**Part 3**” is the SLB-5 Part 3, Surplus Lines Quarterly Report- Return Premiums.

The critical Broker identifying Information that was entered in the Broker Dialog Screen, (**Broker’s License Number**, [Authorized Individual Name, Authorized Individual License Number], **Filing Quarter, Tax Year and Prior Credits**), along with the number of policies and total value associated with that Part of the SLB-5, will appear in a display-only mode at the top of the selected Part. (*This is labeled “header area” on the sample screen included in this documentation.*) Please verify that the identifying information is correct and accurately reflects the information entered in the dialog box. If it is incorrect, click “**Close**” on this worksheet to return to the Broker Information dialog box.

The *Scrolling Policy Record Area* is displayed in the bottom area of each of the three parts of the SLB-5 worksheets. This is a display area for all records (policies) that currently exist for the selected Part of the SLB-5. The total number of policies and total coverage amount is displayed in the header

area. By scrolling down through these records you may select a policy to display for modification or deletion.

Explanation of control buttons in the bottom right-hand corner of each of the worksheets:

**Add:** Click this button prior to entering information for a new policy. It will create a blank record for entry of detailed items on SLB5- Part 1, 2 or 3, depending on which Tab was selected.

**Save:** Click this button after successful entry or modification of policy information to update record.

**Refresh:** Click this button to restore the previously saved detail items for the currently displayed policy record.

**Delete:** Click this button to delete the currently displayed policy record.

**NOTE:** You can double-click in Field 1 of Part1, Part 2 or Part 3 to bring up a search screen that will allow you to find a policy by typing all or part of a policy number in the search text box.

A screenshot of a 'Policy Search' dialog box. The dialog has a title bar with the text 'Policy Search' and a close button (X). Inside the dialog, there is a label 'Enter a policy number:' followed by a large, empty text input field. To the right of the input field are two buttons: 'OK' and 'Cancel'.

## Entering Policy Information - SLB-5 Part 1

Sample Screen for SLB-5 Part 1 Worksheet:

The screenshot shows a software window titled "SLB 5". At the top, it displays user information: "Broker Joe Broker" and "Agent Joe Broker", both with ID "123456789". It also shows "Policies 0", "Quarter 4 1997", "Chesterfield VIRGINIA", and "Total Amt \$0.00". This top section is labeled as the "Header Area".

Below the header are three tabs: "Part 1", "Part 2", and "Part 3". "Part 1" is selected and contains the following fields with numbered blanks:

- Policy Number: **1**
- Name Insured: **2**
- Procurement ID: **7** (dropdown menu)
- Referring Agent: **8**
- UnLicense Co.: **10**
- Class Code: **12** (dropdown menu)
- Gross Premium: **6**
- Procurement Date: **3**
- Effective Date: **4**
- End Date: **5**
- Ref License: **9**
- SL Number: **11**
- Insurance Amount: **13**

At the bottom right of the "Part 1" section are buttons: "Add", "Save", "Refresh", "Delete", and "Close".

Below the fields is a "Scrolling Policy Record Area" containing a table with the following columns: "Policy #", "Name Insured", "Procure Date", and "Effecti". The table has one row with empty fields for data entry.

SLB-5 Part 1 reports any new policies for the specified tax quarter. If a policy is written by multiple carriers, i.e. more than one unlicensed company, add a new policy record for each carrier. After clicking "Add" to create a new policy record, or after selecting a policy record to modify from the bottom scrolling area of the worksheet, complete the detailed items on the worksheet as indicated. The following instructions correspond to the numbered blanks on the Form SLB-5 that follows this section:

**NOTE:** The numbers in the different fields also represent the tab order for the fields. For example, if you are keying data in FIELD 3 and press TAB, you will be move to FIELD 4.

- Item 1:** Report the policy number for the policy being reported. If no policy number has been assigned when the policy is reported then enter **NONE**.
- Item 2:** Report the name of the insured.
- Item 3:** Report the procurement date of the policy in the following format: MM/DD/YYYY.
- Item 4:** Report the policy effective date in the following format: MM/DD/YYYY

- Item 5:** Report the policy ending date in the following format: MM/DD/YYYY.
- Item 6:** Report the gross premium including policy fees in Item 6. **Do not show policy fees separate from the gross premiums. Do not include the surplus lines tax in the gross premium.**
- Item 7:** Select **one** of the following procurement codes for each policy listed on part 1 from the drop down list:  
**Commercial Insured** (If Commercial Insured is selected, form SLB – 10 is required)  
**Broker Direct Business**  
**Referred From a Licensed Property & Casualty Agent**
- Item 8:** Report the name of the referring licensed property and casualty agent if the procurement type code is “Referred From a Licensed Property & Casualty Agent”. If the procurement type code is “Commercial Insured” or “Broker Direct Business” do not complete this blank. Enter as last name, first name, e.g., Doe, John.
- Item 9:** Report the Virginia property and casualty license number of the referring property and casualty agent. Do not use hyphens in this number.
- Item 10:** Report the name of the unlicensed company as it appears on the list of approved surplus line carriers produced by the Bureau. **If a policy is written by multiple carriers, fully complete a separate policy record for each carrier.**
- Item 11:** Report the unlicensed company’s SL number as a number from 1-999.
- Item 12:** Select **one** of the following classes of insurance codes from the drop-down list in item 6 that best fits the policy being reported:
- |                      |                        |                          |
|----------------------|------------------------|--------------------------|
| Aircraft Liability   | General Liability      | Excess Auto              |
| Auto Physical Damage | Inland Marine          | Excess General Liability |
| Crime                | Medical Malpractice    | Other                    |
| Fire & Miscellaneous | Professional Liability |                          |
- Item 13:** Enter the aggregate amount of coverage provided by the policy being reported. **Note that this is not the premium for the policy.**

Click “**Save**” once you have entered all the items for the policy. If there are additional policies to report, Click “**Add**” to create another blank screen on which to enter the information for an additional policy.



### **Before you Leave SLB-5 Part 1**

Please note that the Total Gross Premium figure at the top of the spreadsheet reflects the sum of the Gross Premiums entered. The Total # of Policies reflects the number of policy records entered.

If there are no additional policies to report, you may proceed to other parts of the SLB-5 by clicking on the appropriate tab, or you may click **“Close”** at any time you are finished entering all SLB-5 information.

## Entering Additional Premiums - SLB-5 Part 2

Sample Screen for SLB-5 Part 2 Worksheet:

**SLB 5**

Broker Joe Broker 123456789  
Agent Joe Broker 123456789 Policies 0  
Quarter 4 1997 Chesterfield VIRGINIA Total Amt \$0.00

**Part 1** **Part 2** **Part 3**

Policy Number **1** Policy Date **3**  
Name Insured **2**  
UnLicense Co. **4** SL Number **5**  
Premium Type **6** Add Date **7**  
Additional Premium **8**

Buttons: Add, Save, Refresh, Delete, Close

Scrolling Policy Record Area

| Policy # | Name Insured | Effective Date | Unlice |
|----------|--------------|----------------|--------|
|          |              |                |        |

**Item 1:** Report the policy number for the policy being reported. If no policy number has been assigned when the policy is reported then enter **NONE**.

**Item 2:** Report the name of the insured.

**Item 3:** Report the policy effective date in MM/DD/YYYY format.

**Item 4:** Report the name of the unlicensed company as it appears on the list of approved surplus line carriers produced by the Bureau in Item 4. **If a policy is written by multiple carriers, fully complete a separate policy record for each carrier.**

**Item 5:** Report the unlicensed company's SL number as a number from 1-999.

**Item 6:** For additional premiums or policies previously reported indicate whether the additional premium is due to **Endorsement**, **Installment** or **Audit** by selecting the appropriate type from the drop-down selection list.

**Item 7:** Report the effective date of the additional premium in MM/DD/YYYY format.

**Item 8:** Report the amount of the additional premium.

Click **“Save”** once you have entered all the items for the policy additional premiums. If there are additional policies to report, Click **“Add”** to create another blank screen on which to enter the information for another policy.

### **Before you Leave SLB-5 Part 2**

Please note that the Total Gross Additional Premium figure at the top of the spreadsheet reflects the sum of the Additional Premiums entered. The Total # of Policies reflects the number of records entered.

If there are no additional policies to report, you may proceed to Part 3 of SLB-5 by clicking on the Part 3 tab, or you may click **“Close”** at any time you are finished entering all SLB-5 information.

## Entering Return Premiums - SLB-5 Part 3

Sample Screen for SLB-5 Part 2 Worksheet:

**SLB 5**

Broker Joe Broker 123456789  
 Agent Joe Broker 123456789 Policies 0  
 Quarter 4 1997 Chesterfield VIRGINIA Total Amt \$0.00

**Part 1** **Part 2** **Part 3**

Policy Number **1** Policy Date **3**  
 Name Insured **2**  
 UnLicense Co. **4** SL Number **5**  
 Premium Type **6** Return Date **7**  
 Return Premium **8**

| Policy # | Name Insured | Effective Date |
|----------|--------------|----------------|
|          |              |                |

Buttons: Add, Save, Refresh, Delete, Close

Scrolling Policy Record Area

**Item 1:** Report the policy number for the policy being reported. If no policy number has been assigned when the policy is reported then enter **NONE**.

**Item 2:** Report the name of the insured.

**Item 3:** Report the policy effective date in MM/DD/YYYY format.

**Item 4:** Report the name of the unlicensed company as it appears on the list of approved surplus line carriers produced by the Bureau in Item 4. **If a policy is written by multiple carriers, fully complete a separate line on the report for each carrier.**

**Item 5:** Report the unlicensed company's SL number as a number from 1-999.

**Item 6:** For return premiums on policies previously reported, indicate whether the return premium is due to audit, endorsement or cancellation by clicking on the down arrow and selecting from the drop-down list.

**Item 7:** Report the effective date of the return premium in MM/DD/YYYY format.

**Item 8:** Report the amount of the return premium.

Click **‘Save’** once you have entered all the items for the policy return premiums. If there are return premiums for other policies to report, Click **‘Add’** to create another blank screen on which to enter the information for another policy.

### **Before you Leave SLB-5 Part 3**

Please note that the Total Return Premium figure at the top of the worksheet reflects the sum of the Return Premiums entered. The Total # of Policies reflects the number of policy records entered.

If there are no additional return premiums to report, you may click **‘Close’** at any time you are finished entering all SLB-5 information.

**Note that if an amendment is made to Form SLB-5 for a particular quarter, an amended form SLB-3 and Form SLB-7 should be submitted.**

## Instructions for Completing SLB Reporting System Screen

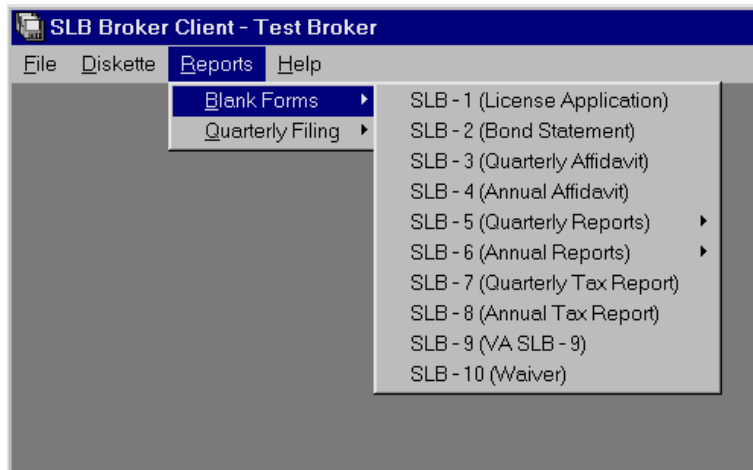
After the SLB-5 Worksheets have been entered and “**Closed**”, select **Reports** from the **File** menu. This menu allows you to print blank forms which you may fill in manually or the Quarterly Filing reports.

*See the appendix for a list of all reports and examples.*



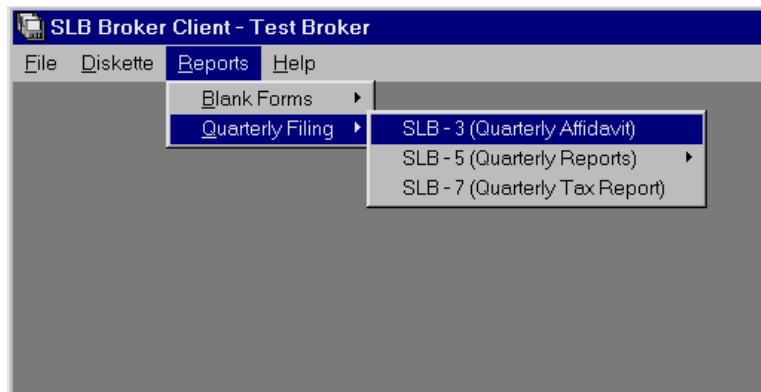
### **Blank Forms**

Click the report to be printed to print a blank copy of the report. You may use this function if you wish to print blank copies of the reports to use as worksheets or to file manually, and you may select any number of SLB report forms to print.



### **Quarterly Filing**

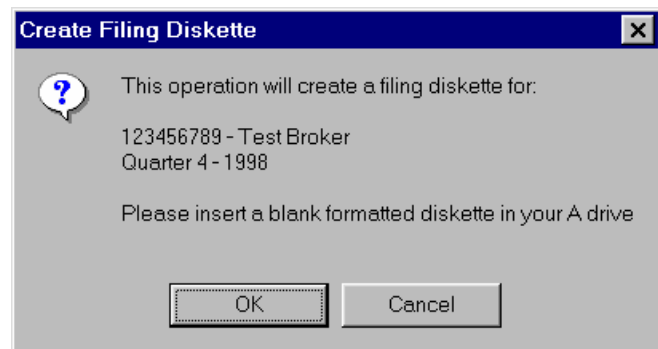
Click the report to print a copy of the selected report with the information automatically filled in by the computer. *The only reports that may be printed with this function are SLB-3, SLB-5 (Parts 1,2 and 3) and SLB-7.*



### **Diskette**

Insert a blank diskette into Drive A:. Click **Diskette** on the menu bar to initiate the diskette filing process and open the **Create Filing Diskette** dialog. Click “**OK**” to create the diskette.

*This process creates two files on the diskette that was inserted into the A: Drive. The files are named SLUPLOAD.TXT and SLUPLOAD.HDR .*



*To create these files without using this application, see Appendix II for file layouts and instructions.*

## Appendix I – VA Forms SLB 1 through SLB-10

This appendix lists the SLB-1 through SLB-10 forms for your reference.

### **SLB-1 Application for License as Surplus Broker**



SLB-1.DOC

### **SLB-2, Part 1 Bond for Surplus Lines Insurance Broker**

### **SLB-2, Part 2 Acknowledgement of Principal (Individual or Partnership)**

### **SLB-2, Part 3 Acknowledgement of Principal (Corporations Only)**

Error! Not a valid link.

### **SLB-3 Quarterly Combined Affidavit by Surplus Lines Broker**

*All licensed surplus lines brokers must file this form even if no business was procured during the calendar quarter. Also, any broker that held a license for a portion of the calendar quarter must file this form.*

Error! Not a valid link.

### **SLB-4 Annual Combined Affidavit by Surplus Lines Broker**

Error! Not a valid link.

### **SLB-5, Part 1 Surplus Lines Quarterly Report**

### **SLB-5, Part 2 Additional Premiums – Surplus Lines Policies Quarterly Report**

### **SLB-5, Part 3 Return Premiums – Surplus Lines Policies Quarterly Report**

*The SLB-5 may be filed via a diskette by following the instructions in this manual. SLB-5 Part 4 must be printed and notarized.*

Error! Not a valid link.

### **SLB-6, Part 1 Surplus Lines Annual Report**

### **SLB-6, Part 2 Additional Premiums – Surplus Lines Policies Annual Report**

**SLB-6, Part 3 Return Premiums – Surplus Lines Policies Annual Report.** *SLB-6 Part 4 must be printed and notarized.*

Error! Not a valid link.

### **SLB-7 Quarterly Gross Premiums Tax Report**



Error! Not a valid link.

**SLB-8 Annual Gross Premiums Tax Report**

Error! Not a valid link.

**SLB-9 Notice to Insured**

Error! Not a valid link.

**SLB-10 Commercial Insured Waiver**

Error! Not a valid link.

## Appendix II – File Layouts

If you choose to use another method to generate the SLB diskette filing information, the file layouts are included on the following pages for your reference. Use only upper-case alpha-numeric characters. Also all dollar amounts are 15 characters, 0 filled with no decimal point. If the amount is negative, use 15 zeros, i.e., 0000000000000000

*You must comply with the following naming convention:*

- There are 2 files created on the mailing diskette when you click on the DISK command button in the Print Dialog Screen; a header file and a text file. The files are named SLUPLOAD.TXT and SLUPLOAD.HDR .
- The text file contains 4 record types :
  - SLB-5 Part 1 Record(s)
  - SLB-5 Part 2 Record(s)
  - SLB-5 Part 3 Record(s)
  - SLB-57 Record
- The header file contains 1 record:
  - Header Record
- There should be one record for each policy specified in SLB – 5, Parts 1,2 and 3. If there are **no** records for any of these parts a blank record with the first 5 fields should be written to the file.
- There is only one record written for SLB – 57.
- The records are appended one after the other in the text file

The record layouts are as follows:

**SLB – 5 (Part1) Records**

| Position | Data Type | Description           | Example            | Comments                 |
|----------|-----------|-----------------------|--------------------|--------------------------|
| 1        | A4        | Filing Year           | 1997               | YYYY                     |
| 5        | A1        | “Q”                   | Q                  | Always the letter “Q”    |
| 6        | A1        | Filing Quarter        | 1                  | 1,2,3 or 4               |
| 7        | A5        | Record Type           | SLB51              |                          |
| 12       | A9        | Broker License Number | 001234567          | 9 alphanumeric digits    |
| 21       | A15       | Policy Number         | ABC1234567890XX    |                          |
| 36       | A40       | Name Insured          | THE NAME CO., INC. |                          |
| 76       | A8        | Procurement Date      | 19970214           | YYYYMMDD                 |
| 84       | A8        | Effective Date        | 19970214           | YYYYMMDD                 |
| 92       | A8        | End Date              | 19970214           | YYYYMMDD                 |
| 100      | A15       | Gross Amount          | 000000000001199    | \$ 11.99                 |
| 115      | A1        | Procurement Type      | C                  | C,B or R                 |
| 116      | A40       | Referring Agent Name  | MR. JOHN AGENT     |                          |
| 156      | A9        | Referring Agent ID    | 001234567          |                          |
| 165      | A40       | Unlicensed Company    | THE NAME CO., INC. |                          |
| 205      | A5        | SL Number             | SL123              | SL and 3 numeric digits  |
| 209      | A1        | Filler                |                    | Blank Space              |
| 211      | A3        | Class Code ID         | OTH                | See list in user's guide |
| 214      | A15       | Premium Amount        | 000000000001199    | \$ 11.99                 |

**SLB – 5 (Part2) Records**

| Position | Data Type | Description           | Example            | Comments                |
|----------|-----------|-----------------------|--------------------|-------------------------|
| 1        | A4        | Filing Year           | 1997               | YYYY                    |
| 5        | A1        | “Q”                   | Q                  | Always the letter “Q”   |
| 6        | A1        | Filing Quarter        | 1                  | 1,2,3 or 4              |
| 7        | A5        | Record Type           | SLB52              |                         |
| 12       | A9        | Broker License Number | 001234567          | 9 alphanumeric digits   |
| 21       | A15       | Policy Number         | ABC1234567890XX    |                         |
| 36       | A40       | Name Insured          | THE NAME CO., INC. |                         |
| 76       | A8        | Effective Date        | 19970214           | YYYYMMDD                |
| 84       | A40       | Unlicensed Company    | THE NAME CO., INC. |                         |
| 124      | A5        | SL Number             | SL123              | SL and 3 numeric digits |
| 129      | A1        | Filler                |                    | Blank Space             |
| 130      | A1        | APT ID                | A                  | E,I or A                |
| 131      | A8        | Add Date              | 19970214           | YYYYMMDD                |
| 139      | A15       | Additional Amount     | 000000000001159    | \$ 11.59                |
| 154      | A74       | Filler                |                    | Blank Spaces            |

**SLB – 5 (Part3) Records**

| Position | Data Type | Description           | Example            | Comments                |
|----------|-----------|-----------------------|--------------------|-------------------------|
| 1        | A4        | Filing Year           | 1997               | YYYY                    |
| 5        | A1        | “Q”                   | Q                  | Always the letter “Q”   |
| 6        | A1        | Filing Quarter        | 1                  | 1,2,3 or 4              |
| 7        | A5        | Record Type           | SLB53              |                         |
| 12       | A9        | Broker License Number | 001234567          | 9 alphanumeric digits   |
| 21       | A15       | Policy Number         | ABC1234567890XX    |                         |
| 36       | A40       | Name Insured          | THE NAME CO., INC. |                         |
| 76       | A8        | Effective Date        | 19970214           | YYYYMMDD                |
| 84       | A40       | Unlicensed Company    | THE NAME CO., INC. |                         |
| 124      | A5        | SL Number             | SL123              | SL and 3 numeric digits |
| 129      | A1        | Filler                |                    | Blank Space             |
| 130      | A1        | RPT ID                | A                  | A,E or C                |
| 131      | A8        | Return Date           | 19970214           | YYYYMMDD                |
| 139      | A15       | Return Amount         | 000000000001159    | \$ 11.59                |
| 154      | A74       | Filler                |                    | Blank Spaces            |

**SLB – 57 Records**

| Position | Data Type | Description           | Example         | Comments              |
|----------|-----------|-----------------------|-----------------|-----------------------|
| 1        | A4        | Filing Year           | 1997            | YYYY                  |
| 5        | A1        | “Q”                   | Q               | Always the letter “Q” |
| 6        | A1        | Filing Quarter        | 1               | 1,2,3 or 4            |
| 7        | A5        | Record Type           | SLB57           |                       |
| 12       | A9        | Broker License Number | 001234567       | 9 alphanumeric digits |
| 21       | A15       | SLB 51 Total          | 000000000001199 | \$ 11.99              |
| 36       | A15       | SLB 51 Total          | 000000000001199 | \$ 11.99              |
| 51       | A15       | SLB 51 Total          | 000000000001199 | \$ 11.99              |
| 66       | A15       | TPI                   | 000000000001199 | \$ 11.99              |
| 81       | A15       | Total Taxable         | 000000000001199 | \$ 11.99              |
| 96       | A15       | Prior Credits         | 000000000001199 | \$ 11.99              |
| 111      | A15       | Total Tax             | 000000000001199 | \$ 11.99              |
| 126      | A40       | Broker Name           | MR. JOHN AGENT  |                       |
| 166      | A8        | PPR Date              | 19970214        | YYYYMMDD              |
| 174      | A8        | APR Date              | 19970214        | YYYYMMDD              |
| 182      | A8        | RPR Date              | 19970214        | YYYYMMDD              |
| 190      | A8        | QTR Date              | 19970214        | YYYYMMDD              |
| 198      | A8        | CA Date               | 19970214        | YYYYMMDD              |
| 206      | A20       | County                | CHESTERFIELD    |                       |
| 227      | A2        | State                 | VA              |                       |

### ***Header Record***

| <b>Position</b> | <b>Data Type</b> | <b>Description</b>              | <b>Example</b>  | <b>Comments</b>       |
|-----------------|------------------|---------------------------------|-----------------|-----------------------|
| 1               | A2               | State Abbreviation              | VA              |                       |
| 3               | A15              | County                          | Q               |                       |
| 18              | A40              | Broker Name                     | MR. JOHN BROKER |                       |
| 58              | A40              | Authorized Agent Name           | MS. JANE BROKER |                       |
| 98              | A9               | Broker License Number           | 001234567       | 9 alphanumeric digits |
| 107             | A9               | Authorized Agent License Number | 001234567       | 9 alphanumeric digits |
| 116             | A4               | Filing Year                     | 1997            | YYYY                  |
| 120             | A4               | Quarter End Date                | 0331            | MMDD                  |
| 124             | A2               | Quarter                         | Q1              |                       |
| 126             | A15              | SLB 51 Total                    | 000000000001199 | \$ 11.99              |
| 141             | A15              | Total Taxable                   | 000000000001199 | \$ 11.99              |
| 156             | A15              | SLB 52 Total                    | 000000000001199 | \$ 11.99              |
| 171             | A15              | SLB 53 Total                    | 000000000001199 | \$ 11.99              |
| 186             | A15              | TPI                             | 000000000001199 | \$ 11.99              |
| 201             | A15              | Prior Credits                   | 000000000001199 | \$ 11.99              |
| 216             | A15              | Total Tax                       | 000000000001199 | \$ 11.99              |
| 231             | A10              | PPR Date                        | 02/14/1997      | MM/DD/YYYY            |
| 241             | A10              | APR Date                        | 02/14/1997      | MM/DD/YYYY            |
| 251             | A10              | RPR Date                        | 02/14/1997      | MM/DD/YYYY            |
| 261             | A10              | QTR Date                        | 02/14/1997      | MM/DD/YYYY            |
| 271             | A10              | CA Date                         | 02/14/1997      | MM/DD/YYYY            |